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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/974,624	10/09/2001	Alfred T. Tabayoyon JR.	SWIF 2123	8468
7812	7590	04/21/2005	EXAMINER	
SMITH-HILL AND BEDELL 12670 N W BARNES ROAD SUITE 104 PORTLAND, OR 97229			AVELLINO, JOSEPH E	
			ART UNIT	PAPER NUMBER
			2143	

DATE MAILED: 04/21/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/974,624

Applicant(s)

TABAYOYON ET AL.

Examiner

Joseph E. Avellino

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 01 March 2005.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-22 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-22 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- ☐ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- ☐ Notice of Informal Patent Application (PTO-152)
- ☐ Other: \_\_\_\_\_

**DETAILED ACTION**

1. Claims 1-22 are presented for examination; claims 1 and 14 independent.

***Claim Rejections - 35 USC § 102***

2. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claims 1-2, 4-8, 13-17, and 21 are rejected under 35 U.S.C. 102(e) as being anticipated by McMillan (USPN 6,789,108).

3. Referring to claim 1, McMillan discloses a method for transmitting a document file describing a document from a sender computer 25 to a receiver computer 25 via a computer network 16 linking the sender computer and the receiver computer to a server computer 12-15, wherein the sender computer is operated by a sender, wherein the receiver computer is operated by a receiver, the method comprising the steps of:

- a. transmitting the document file from the sender computer to the server computer via the computer network (Figure 10, 321; col. 8, lines 3-16);
- b. transmitting the document file (i.e. email) from the server computer to the receiver computer via the computer network (Figure 11, 330; col. 8, lines 17-48);
- c. providing viewer software (col. 3, lines 45-60; col. 4, lines 55-59) executed by the receiver computer for generating a display of an image of the document (i.e. flash file or the like) described by the document file (i.e. email) when

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received by the receiver computer (col. 7, line 58 to col. 8, line 2), and for thereafter automatically returning verification data to the server computer via the computer network verifying that the receiver computer has successfully displayed the document image (Figure 12, 340; col. 8, line 49 to col. 9, line 52).

4. Referring to claim 2, McMillan discloses further comprising the steps of:
  - d. storing log data (i.e. tracking software) on the server computer indicating when the receiver computer returned the verification data to the server computer (Figure 13, 410; col. 9, line 15-52); and
  - e. providing the sender computer with access to the log data via the computer network (col. 10, lines 38-54).
5. Referring to claim 4, McMillan discloses further comprising the steps of:
  - d. transmitting a publish request from the sender computer to the server computer wherein the publish request identifies the receiver computer (col. 8, lines 3-16); and
  - e. prior to step b, transmitting an email message generated by the sender from the server computer to the receiver computer identified in the publish request, wherein the email message references the document file (col. 8, lines 3-16).
6. Referring to claim 5, McMillan discloses further comprising the steps of:

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f. prior to step e, storing the document file in the server computer and assigning a network address to the document file stored on the server computer (it is an inherent feature that whenever a file is stored onto a computer, it is assigned a unique file address, otherwise there will be no way in accessing the file) (col. 7, lines 3-27), wherein the email message transmitted at step e includes a reference to the assigned network address (col. 7, lines 59-67).

7. Referring to claim 6, McMillan discloses the reference to the assigned network address is a hypertext link included in the email message (i.e. a standard email message) (col. 7, lines 59-67).

8. Claim 7 is rejected for similar reasons as stated above.

9. Referring to claim 8, McMillan discloses wherein step b comprises the sub-steps of:

b1. verifying that the receiver is signed on to the server computer (i.e. password and username to the email account (Figure 13, 410; col. 9, lines 15-53, parameters i and j)); and

b2. thereafter transmitting the document file from the server computer to the receiver computer via the computer network (col. 8, lines 17-48).

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10. Referring to claim 13, McMillan discloses the receiver computer returns the verification data to the server computer as an encoded network address (col. 9, lines 15-52).

11. Claims 14-17, and 21 are rejected for similar reasons as stated above.

***Claim Rejections - 35 USC § 103***

12. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claims 9, 10, and 20 are rejected under 35 U.S.C. 103(a) as being unpatentable over McMillan in view of Ohashi (USPN 6,209,030).

13. Referring to claim 9, McMillan discloses the invention substantively as described in claim 1. McMillan further discloses transmitting a publish request from the sender computer to the server computer, wherein the publish request identifies the receiver computer, and transmitting the document file from the sender computer to the server computer via the computer network (see claims above). McMillan does not specifically disclose the publish request indicated that the receiver computer is to be prevented from printing the document file. In analogous art, Ohashi discloses another method of transmitting document files from a sender to a receiver wherein the publish request (i.e. tag information) is that the receiver computer is to be prevented from printing the

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document file (e.g. abstract). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Ohashi with McMillan since McMillan discloses that other encapsulation packages can be used (wherein the term "encapsulation" is taken as bundling the information for distribution in various entities) (col. 4, lines 45-48). This would lead one of ordinary skill in the art to search for other encapsulation means which would lead one to Ohashi and a secure encapsulation of HTML files such that hard copying of files is denied, thereby reducing the tendencies of unauthorized users obtaining classified or internal information as supported by Ohashi (col. 2, lines 10-18).

14. Referring to claim 10, McMillan discloses the invention substantively as described in claim 9. McMillan further discloses transmitting the document file from the server computer to the receiver computer via the computer network (see claim rejections above). McMillan does not specifically disclose preventing the receiver computer from printing the document file. In analogous art, Ohashi discloses another method of transmitting document files from a sender to a receiver which prevents the receiver computer from printing the document file (e.g. abstract). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Ohashi with McMillan since McMillan discloses that other encapsulation packages can be used (col. 4, lines 45-48). This would lead one of ordinary skill in the art to search for other encapsulation means which would lead one to Ohashi and a secure encapsulation of HTML files such that hard copying of files is denied, thereby

reducing the tendencies of unauthorized users obtaining classified or internal information as supported by Ohashi (col. 2, lines 10-18).

15. Claim 20 is rejected for similar reasons as stated above.

Claims 11, 12, 18, and 19 are rejected under 35 U.S.C. 103(a) as being unpatentable over McMillan in view of Kurokawa (USPN 6,237,099).

16. Referring to claim 11, McMillan discloses the invention substantively as described in claim 1. McMillan does not specifically disclose assigning a password to the document and transmitting the password to the server computer. In analogous art, Kurokawa discloses another method of transmitting document files from a sender to a receiver wherein the sender assigns a password to the document and transmitting the password to the server computer (Figure 3, 52, 53; col. 2, lines 15-23). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Kurokawa with McMillan in order to provide secure access to files and to prevent unauthorized access to documents, which is a well known security issue in computer networking.

17. Referring to claim 12, McMillan discloses the invention substantively as described in claim 1. McMillan does not specifically disclose providing a document password entry form to the receiver computer, entering a second password into the



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form to the server computer, and transmitting the document file from the server to the receiver when the second password matches the first password. In analogous art, Kurokawa discloses another method of transmitting document files from a sender to a receiver providing a document password entry form to the receiver computer, entering a second password into the form to the server computer, and transmitting the document file from the server to the receiver when the second password matches the first password (Figure 8, 90-95; col. 6, lines 31-58). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Kurokawa with McMillan in order to provide secure access to files and to prevent unauthorized access to documents, which is a well known security issue in computer networking.

18. Claims 18-19 are rejected for similar reasons as stated above.

Claims 3 and 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over McMillan in view of Day et al. (USPN 6,243,722) (hereinafter Day).

19. Referring to claim 3, McMillan discloses the invention substantively as described in claim 1. McMillan does not specifically disclose transmitting a comment file containing comments generated by the receiver from the receiver computer to the server computer, storing the comment file on the server computer, and providing the sender computer with access to the comment file. In analogous art, Day discloses

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another method of transmitting document files from a sender to a receiver which transmits a comment file containing comments generated by the receiver from the receiver computer to the server computer, storing the comment file on the server computer, and providing the sender computer with access to the comment file (Figure 7, 150; Figure 8, 162; col. 8, line 5 to col. 9, line 24). It would be obvious to a person of ordinary skill in the art at the time the invention was made to combine the teaching of Day with McMillan in order to collectively develop and modify networked-based documents, thereby reducing production time and increasing feedback upon the document.

20. Claim 22 is rejected for similar reasons as stated above.

### ***Response to Arguments***

21. Applicant's arguments filed March 1, 1005 have been fully considered but they are not persuasive.

22. Applicant argues, in substance, that (1) McMillan does not disclose determine verification that the receiver has actually viewed the document image, rather when the email is sent, (2) McMillan does not teach a "publish request" from a sender computer as required in claims 4-6, (3) McMillan does not teach the intended receiver of the data files should be required to log in to retrieve the document, (4) McMillan does not teach

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sending a network address indicating that the receiver has successfully viewed a document, and (5) Ohashi does not teach preventing a user from printing a file.

23. As to point (1) the Office respectfully disagrees. Applicant has neglected the fact that McMillan's reporting server 14 records and logs all functions of *the content server* (which transmits the multimedia file) as well as the email server. The content is then prepared (according to Figures 6 and 9) as several different servlets, based on the content capabilities of the user computer 25 viewing the content, *which are then continually monitored*. The Session manager which retains the session status, including current request count, machine ID and total use time. Figure 16 further discusses the session manager which discloses the session ends when the user closes the email or browser program, which is then logged (col. 10, line 55 to col. 11, line 15). By this rationale McMillan does disclose storing information regarding when a user *actually* views the document image and this rejection is therefore maintained.

24. As to point (2) this is an inherent feature regarding the McMillan system. There must be a request to send the information from a sender to a receiver, otherwise the information would never be sent from the sender. For this information to be released from the content server, it must be requested to be released by the sender. By this rationale, the rejection is maintained.

25. As to point (3), an inherent feature for email accounts is a secure login feature which requires a username and password in order to retrieve the email. Therefore there inherently is a username and password sent to a server to retrieve the email, and therefore view the content.

26. As to point (4) an inherent feature of any content request (i.e. an HTTP GET request) is an address which indicates where to route the content. Therefore the content receiver must transmit an identifier as to the network address verifying the viewing of the document. By this rationale the rejection is maintained.

27. As to point (5), the Office interprets the disclosure of Ohashi (e.g. abstract) of "prevents making a copy of the screen when a user issues a request to make a copy of the screen" does, in fact, cover the situation when a user sends a request to print the file. Applicant has not provided any reasons as to why this would not prevent one from printing the file. By this rationale, the rejection is maintained.

### ***Conclusion***

28. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not

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mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joseph E. Avellino whose telephone number is (571) 272-3905. The examiner can normally be reached on Monday-Friday 7:00-4:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, David A. Wiley can be reached on (571) 272-3923. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).



JEA  
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